

**Statewide Information Management Manual
(SIMM)
Volume I, Policies
Policy 6.0**

PROJECT CHANGE REQUEST POLICY



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SIMM: Volume I, Policy 6.0
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TABLE OF CONTENTS

SECTION 1: PCR POLICY STATEMENT	1
1.0 PURPOSE	1
1.1 OVERVIEW	2
1.2 OBJECTIVES	2
1.3 RESPONSIBILITIES & TASKS	2
1.4 EVIDENCE OF COMPLIANCE	3
1.5 REPORTING CRITERIA	4

Section 1

POLICY STATEMENT

After a state information technology (IT) project has been approved either by the department director or by the Department of Information Technology (DOIT), the department is responsible for conducting and completing the project according to the parameters of the approved Feasibility Study Report (FSR). Every effort must be made by the department to complete the project on-time and within the original budget. Significant exceptions to this policy will only be granted by the DOIT as a result of extenuating circumstances beyond the control of the responsible department. Enhancements to the original design and other activities which could result in significant budget increases must be proposed in subsequent phases accompanied by a new FSR.

If the department identifies a change that may be needed to assure successful project completion and it is deemed that the proposed change meets the Project Change Request (PCR) reporting criteria as specified in this policy, the proposed project change must be documented in a PCR. Departments may not implement a reportable change without prior approval by the DOIT. The PCR must be submitted to the DOIT for review and approval prior to submission of any further documentation or implementation of the proposed change.

The PCR must be prepared in accordance with the SIMM Volume II, Guideline 6.0: PCR. The PCR must provide the DOIT with the information necessary to assess the merits of the proposed change and the anticipated impact on the overall project budget and schedule.

Upon completion of its review, the DOIT will provide specific direction to the department regarding implementation of the identified change, and will indicate any further documentation requirements, as necessary. The department is responsible for complying with the DOIT's direction and implementing the change as specified by the DOIT.

This policy is effective as of **May 1, 1998**.

1.0 PURPOSE

The purpose of a PCR is to provide the informational elements necessary for the DOIT to assess the impact of a proposed change to a State IT project and to provide specific direction to the department regarding this change. The DOIT is responsible for ensuring that State IT projects are being rigorously controlled in a manner to ensure taxpayer dollars are invested in the most cost effective and efficient manner possible.

The PCR must address:

1. Identification of the proposed change.
2. The necessity and justification for the change.
3. The impact of the change on the overall project budget and schedule.
4. A brief description of how the change will be incorporated into the project.

1.1 OVERVIEW

The PCR is a high-level description of a proposed change to a previously approved state IT project. The PCR provides information to the DOIT concerning the proposed change and allows the DOIT to provide specific direction to the department regarding how to best proceed with implementation. Departments may not implement a reportable change without prior approval by the DOIT.

1.2 OBJECTIVES

The PCR provides both the department and the DOIT with the preliminary information needed to assess the merits of a proposed change before resources are spent on the development of a Special Project Report (SPR), or detailed change proposal, that may not be approved.

The PCR provides the department an opportunity to involve the DOIT early in the decision-making process, and allows the DOIT to provide up-front direction and guidance to ensure proper action is taken.

1.3 RESPONSIBILITIES & TASKS

The following departments are responsible for the tasks associated with this policy:

1.3.1 Department:

1. Determine that a change is necessary to a previously approved project to enable the project to be successfully completed.
2. Determine that the proposed change meets the reporting criteria of this policy.
3. Submit a completed PCR in accordance with the SIMM Volume II, Guideline 6.0: PCR.
4. Respond accurately and promptly to the DOIT's requests for clarification during the DOIT PCR review and evaluation periods.
5. Comply with the DOIT's final determination on the PCR and the proposed project change.

1.3.1 Agency:

1. Confirm that the change is necessary to a previously approved project to enable the project to be successfully completed.
2. Submit three (3) copies of the PCR to the DOIT.
3. Ensure sufficient and complete PCRs are provided to the DOIT in a timely manner to provide a 30-day DOIT evaluation period.
4. Ensure that departments are complying with the DOIT's final determination on the PCR.

1.3.2 DOIT:

1. Evaluate the PCR and the impact of the proposed change on the project in the following areas:
 - a) The need for the change has been established.
 - b) The project remains viable.
 - c) The proposed change is consistent with statewide IT policies and strategies.
2. Request clarification of the PCR from the department when specific areas of the PCR do not meet state policy, the PCR guidelines, and/or additional information is needed.
3. Meet the 30-day PCR review and evaluation timeframe.
4. Confer with the DOF, as applicable, concerning the DOIT's proposed direction to the department.
5. Provide specific direction to the department regarding implementation of the proposed change to ensure optimal outcomes for the project and the State.
6. Forward two (2) copies of the PCR and the specified direction to the Department of Finance (DOF) for the DOF-reportable projects.

1.4 EVIDENCE OF COMPLIANCE

1.4.1 Department:

To demonstrate compliance with this policy, department management must:

1. Determine if the proposed project change meets the reporting criteria of this policy prior to implementation of any project change.
2. Complete the PCR per the specified format and in accordance with the PCR guidelines.
3. Respond promptly to the DOIT's requests for clarification.

4. Comply with the DOIT's final determination of the PCR and the project change.

1.4.2 Agency:

1. Submit three (3) copies of the PCR to the DOIT.
2. Submit the PCR in a timely manner to ensure the DOIT's review and evaluation period.
3. Ensure that departments are adhering to this policy.

1.4.3 DOIT:

To demonstrate compliance with this policy, the DOIT must:

1. Review PCRs that meet the reporting criteria of this policy.
2. Adhere to the specified review timeframes.
3. Confer with the DOF, as applicable, concerning the DOIT's proposed direction to the department.
4. Provide specific direction to the department regarding implementation of the proposed change to ensure optimal outcomes for the project and the proposed activities.
5. Forward two (2) copies of the PCR and the specified direction to the DOF.

1.5 REPORTING CRITERIA

If the project was previously non-reportable and a proposed change to the project meets the reporting criteria of the FSR policy, the proposed change must be documented in a PCR and submitted to the DOIT for review and determination.

If a project is reportable to the DOIT, and the proposed change meets one or more of the following criteria, the proposed change must be documented in a PCR and submitted to the DOIT for review and determination:

1. The project's business objectives and/or requirements as stated in the previously approved FSR or SPR are no longer valid or achievable based on a new legislative or administrative mandate.
2. The project's scope as stated in the previously approved FSR or SPR has been changed.
3. Continued project funding is dependent upon decisions to be made during the development or enactment of the Governor's Budget, such as approval of Budget Change Proposals or Budget Revisions, and a change has caused an increase in the previously approved FSR or SPR project costs.

4. The total project costs are anticipated to increase by ten percent (10%) or more from the most recently approved total project costs.
5. The total program benefits are anticipated to deviate by ten percent (10%) or more from the estimated total program benefits from the most recently approved project budget.
6. The project schedule is anticipated to fall behind by ten percent (10%) or more from the most recently approved project schedule.
7. The project has been segmented into multiple business/programmatic deliverable phases and the proposed change will result in: 1) the implementation date of any phase being changed by more than ten percent (10%); or 2) deliverables have shifted from one phase to another by more than ten percent (10%).
8. The proposed change includes the provision of electronic access to private information concerning individuals or entities by entities other than the data owner or by other entities whose access is specifically authorized by law.
9. The proposed change includes the installation or expansion of wide area network data communication facilities or services other than those acquired through contracts administered by the Department of General Services, or a State consolidated data center as defined in the State Administrative Manual (SAM), Section 4982.
10. The proposed change results in the development, acquisition or installation of technologies not currently supported by the department or not currently supported by a State consolidated data center.
11. The business problem cannot be solved using the hardware class, operating system, database management system, programming language, or commercial off-the-shelf software product identified in the previously approved FSR or SPR.

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